PARTNERING FOR RESULTS
Assessing the Impact of Inter-Sectoral Partnering

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FOREWORD

The search for new mechanisms and tools through which to energize public/private partnering, expand local ownership, and increase the impact and sustainability of development assistance has accelerated over the last four years in response to several key development trends:

- growing resource constraints (particularly in official development assistance)

- increasingly complex development challenges that transcend the ability of any one sector— government, business or civil society— to respond alone

- greater appreciation of the need to better integrate "top-down" and "bottom-up" approaches to development, thus ensuring that advances at the national level and at the community level can more effectively reinforce one another

- an emerging consensus among donors and other development practitioners regarding the centrality of civil society actors to effective development assistance, as well as the growing capacity and interest on the part of civil society actors to play such a role

- shifts in the way in which the business community views issues such as corporate responsibility, poverty and economic growth

- growing commitment to local ownership and democratic decentralization

- increasing recognition that dense networks of inter-sectoral institutional arrangements at the local, national and international levels are critical to the sustainability of development

In this context, inter-sectoral partnering among government, business and civil society actors is attracting increasing attention on the part of a wide range of development practitioners. Among bilateral and multilateral donors, for example, USAID's New Partnerships Initiative (NPI), the Development Assistance Committee (DAC) report "Shaping the 21st Century," the World Bank's Comprehensive Development Framework (CDF) and the United Nations Development Assistance Framework (UNDAF) are indicative of this trend. This interest reflects an emerging consensus that by working jointly these three sectors can take advantage of creative synergies and achieve outcomes that are impossible for any one of them to achieve independently. It is recognized, moreover, that the increasingly rich institutional arrangements such partnering fosters can significantly strengthen local capacity and build societal resilience to external and internal shocks.

Partnering for Results: Assessing the Impact of Inter-Sectoral Partnering is the second publication in a two-part series designed to maximize the development impact of inter-sectoral partnering. It provides a flexible tool for the selection of indicators, the tracking of progress and the documentation of the results of inter-sectoral partnering among government, business and civil society actors. The first publication of the series—*Partnering for Results: A User's Guide to Inter-Sectoral Partnering*—was prepared for the USAID worldwide Mission Director's Conference in November 1998, and provides step-by-step suggestions for development

practitioners interested in exploring the applicability and utility of inter-sectoral partnering to their pursuit of specific development objectives.

The *Partnering for Results* series grows out of USAID's New Partnerships Initiative (NPI). Announced by Vice President Gore at the 1995 UN World Summit for Sustainable Development, NPI linked three strategic components of sustainable development within an overarching framework: strengthening the *capacity of local actors* to solve problems at the community level; fostering an *enabling environment* at the national level supportive of local citizen engagement; and *strategic collaboration* at the local level among government, business and civil society actors. The *Partnering for Results* series focuses on this critical third element of NPI.

Development of the NPI framework and related programming tools was the result of an extremely intensive and sustained interaction among numerous USAID staff (both in Washington and in the field) and a wide array of development partners from government, business and civil society over the course of two years. Following completion of the design phase, NPI was piloted in 15 USAID missions in 1996. The results of this work are detailed in the 1995 *NPI Core Report* and the 1997 *NPI Resource Guide: A Strategic Approach to Development Partnering* (Volumes I and II). Both publications are available electronically at USAID's Inter-Sectoral Partnering web site *http://www.info.usaid.gov/pubs/isp/*. The web site contains additional materials—such as other publications and presentations, and links to related Internet sites—and provides a venue for an informal exchange of views and lessons learned.

Partnering for Results: Assessing the Impact of Inter-Sectoral Partnering provides a framework of indicators adaptable to local conditions and supportive of efforts to systematize, track and record the impact of inter-sectoral partnering. As a growing number of organizations—both public and private—utilize this approach, it is our intention that the *Partnering for Results* series serve to spur additional conceptual and technical refinements to this important development tool.

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I. ASSESSING INTER-SECTORAL PARTNERING

Inter-sectoral partnering is the process of creating and implementing joint venture initiatives—or partnerships—across civil society, government, and the private sector.[1] This paper is a first cut at advancing the methods to assess inter-sectoral partnerships (ISPs). As inter-sectoral partnering becomes more prevalent, a more rigorous approach to measuring its impact is necessary in today's results-based development environment. This is a challenging task because: 1) inter-sectoral partnering is a relatively new concept without an extensive track record to analyze; and, 2) inter-sectoral partnerships are both a process and a result. The newness of ISPs and the lack of conventional indicators to assess them reflect the state of the art rather than any inherent difficulty in measuring them. This guide provides development professionals from donor institutions, civil society organizations, the business community and governmental institutions a framework to assist in documenting the results of inter-sectoral partnering.

ISPs can further a number of development goals. They can strengthen individual organizations within each of the three sectors, offer a mechanism to resolve specific development issues, facilitate poverty reduction, and lay the foundation for broader, systemic change. By fostering increasingly rich host country institutional arrangements, such partnering can help societies significantly strengthen local capacity and build resilience to external and internal shocks. ISPs bring together diverse actors with varied incentives and capacities to address a common issue which, in turn, produces a new environment with an expanded set of incentives for each type of actor.

This document will assist development professionals in the ongoing, iterative process of documenting the results of an inter-sectoral partnership by providing them with a framework of indicators. The framework allows development professionals the flexibility of choosing those indicators most appropriate to their particular partnership. The framework is used to assess the results of specific ISPs, rather than the ISP approach itself. While a variety of indicators used to measure the impact of partnering already exist, the framework presented here constitutes a new contribution to the field in that it introduces a holistic approach to assessing partnerships. The paper also serves to point readers toward sources that have successfully developed indicators that can be adapted to fit within the framework.

Assessing Inter-Sectoral Partnering begins with an explanation of the use of indicators in performance monitoring and evaluation and summarizes USAID guidance on indicator selection and collection. Second, it discusses some of the challenges specific to assessing ISPs. Third, the guide proposes a framework to use when selecting indicators to measure the impact of ISPs and

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[1] *Civil society* is the sphere of private, nonprofit organizations that express community beliefs and values through service provision and advocacy and contribute to collective goods and services. *Government* refers to general and specialized governance institutions at the local, national, and international levels. Lastly, *business* is the private, for-profit entities that produce private goods and services. Inter-sectoral partnerships (ISPs) are hybrid forms of organizational entities—they can take the form of an NGO, a private sector entity, a governmental organization, or some mixture of two or three of the sectors. They can be of relatively short or long duration. (See Steve Waddell's work on ISPs, specifically the three he explores in India, Madagascar, and South Africa.)

discusses existing indicators that fit within this framework. The framework, introduced in Section IV, is flexible and can be adapted to fit the needs of any development activity that involves an inter-sectoral partnership as a process and/or a result. Users can pick and choose from the menu of indicators to ensure that the indicators selected meet the unique needs of a specific partnership.

II.   PERFORMANCE MONITORING AND EVALUATION:
HOW ARE INDICATORS USED?

The ability to assess the impact of inter-sectoral partnering, as with any development result, depends upon two facets of development programming: performance monitoring and evaluation. Performance monitoring refers to the ongoing process of collecting and analyzing data to measure the performance of a program, process, or activity against expected results. To facilitate this, a defined set of indicators is constructed to track regularly the key aspects of performance. An evaluation, on the other hand, is a relatively structured, analytic effort undertaken periodically to answer specific questions regarding programs or activities. Evaluation focuses on why results are or are not being achieved; on unintended consequences; or on issues of interpretation, relevance, effectiveness, efficiency, impact, or sustainability.

Performance indicators are key to both monitoring and evaluating intended results. An indicator is a particular characteristic or dimension used to measure intended changes. It is the quantitative or qualitative value of a single element within the concept that is being analyzed. Performance indicators are used to observe progress and to measure actual results against intended results. They are most often used for three general purposes: 1) to complete policy design or evaluation; 2) to enlighten an audience about some specific situation; and/or, 3) to aid in allocation decisions. They serve to answer "how" or "if" an activity is progressing toward its objective, rather than "why" or "why not" such progress is being made.[2]

Together, monitoring and evaluation are used to:

- ensure financial accountability

- build the capacity of customers and local stakeholders to reflect, analyze, and take action

- provide organizational credibility and garner public support

- develop lessons learned that can lead to corrective action by local stakeholders

- develop lessons learned that can help implementing agencies improve program implementation (UNDP 1997).

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[2] Definitions of performance monitoring, evaluation, and performance indicators can be found in USAID's Automated Directives System glossary *http://www.info.usaid.gov/pubs/ads*.

USAID Guidance on Indicator Selection and Collection

USAID, like other government agencies, is required to develop useful and meaningful performance goals and indicators consistent with the Government Performance Results Act.[3] Performance information informs judgements, choices, and funding. Agencies use it to determine whether a program should continue to receive funding. Implementing agencies, customers, and other local stakeholders also benefit from the information. Performance information can be used, for example, by a local reformer to maintain public support for reform by demonstrating progress to date.

USAID staff and partners are required to develop a performance monitoring plan that includes performance indicators and their definitions, data source and quality, method of data collection, frequency and schedule of data collection, responsibilities for acquiring data, and a data analysis plan.

As described in Box 1, USAID guidance identifies four criteria for selecting quality performance indicators: direct, objective, practical, and adequate (USAID 1998a).

Box 1: USAID CRITERIA FOR SELECTING QUALITY PERFORMANCE INDICATORS

Direct: A performance indicator is direct (or valid) if it closely tracks the result it is intended to measure. Indicators should be widely accepted for use by specialists in a relevant subject area, exhibit readily understandable face validity, and/or be supported by a specific body of technical research. Indirect or proxy indicators can be used when other considerations, such as cost or timeliness, make that necessary. When proxies are used, particularly those that are not generally accepted or widely used, the relationship between the indicator and the result it is intended to measure should be researched and well understood.

Objective: An indicator is objective if it is unambiguous about 1) what is being measured; and, 2) what data are being collected. Objective indicators have clear operational definitions that are independent of the person conducting the measurement—that is, different individuals would collect data for an objective indicator using the same indicator definition.

Practical: An indicator is practical if it is one for which data can be collected on a timely basis and at a reasonable cost. Performance indicators should 1) provide data to managers at a cost that is reasonable and appropriate, as compared with the management utility of the data; 2) have data available on a frequent enough basis to inform regular program management decisions; and, 3) have data available that are current enough to be useful in decision-making.

Adequate: The number of indicators tracked for a given result should be the minimum necessary to ensure that progress toward the end result is sufficiently captured.

USAID guidance also identifies three criteria for collecting quality performance data: **validity**—the extent to which a measure actually represents what it is intended to measure; **reliability**—the stability of a measurement process; and **timeliness**—frequency and currency.

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[3] GPRA web site: *http://www.npr.gov.*

Types of Indicators

USAID staff and partners involved in a program must exercise great care in choosing between different types of indicators and ensuring that the indicators selected meet the above criteria.

Inputs, outputs, and outcomes

Input indicators measure what has gone into an activity, such as technology added, money spent, or services provided. They do not measure the quality of the services or other concerns such as access or adequacy. Output indicators are the measure of the actual impact or results of programs, such as the number of wells built or teachers trained. This distinction needs to be kept very clear so one does not assume output results by measuring inputs. Indicators measuring outcomes reflect the impact of the inputs and outputs. Outcomes are at a much higher level than inputs and outputs. For example, a program that allocates money (input) to train community leaders (output) may lead to greater social capital (outcome).

Objective vs. Subjective

As mentioned earlier, objective indicators record items that would be recorded in exactly the same way by any reliable observer. Subjective indicators can be self-reported measures of the stakeholder or customer experience, or reports of outsiders observing a program. Subjective indicators can amplify the information that is gained from objective measures by describing quality rather than quantity. For example, an objective indicator may state that 20 teachers were trained, while the subjective indicator may reveal that of those 20, only 10 teachers felt prepared to teach what they had learned.

Assets vs. Deficiencies

Most social science research is designed to collect and analyze data about problems, or deficiencies. In a poor community, for example, deficiency indicators may measure crime and violence, or joblessness and welfare dependency. While indicators that measure deficiencies are often easier to collect, they may have the effect of lowering customer participation because they tend to create apathy. Asset indicators within a poor community, on the other hand, may assess the capacities of residents and workers, or the associational and institutional base of an area--not what is absent, or what is problematic, or what the community needs. Asset indicators can be very helpful when using performance information in a planning process because they provide the foundation for positive change.

Quantitative vs. Qualitative

Quantitative indicators are useful for summarizing large amounts of data and reaching generalizations based on statistical projections. Qualitative indicators can "tell the story" from the participant's viewpoint, providing the rich descriptive detail that sets quantitative results into their human context. One set of indicators is not better than the other; both are derived from

multiple disciplines and can be used to address almost any research topic. Many researchers today argue for an integration of quantitative and qualitative methodologies.[4]

This document focuses on the meaning and selection of indicators that can be used to measure the impact of inter-sectoral partnering. The guide does not prescribe a specific set of indicators that must be measured in order to judge whether or not a partnership has produced successful results. Rather, the guide provides a framework with a menu of indicators from which to choose. The selection of indicators for a particular partnership should be done jointly by members of the partnership and the evaluators. This will ensure that the selection of indicators reflects what the partners think are important characteristics for the type of partnership and the results they seek.

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[4] For a discussion of the "quantitative-qualitative debate," see *http://trochim.human.cornell.edu/kb/qual.htm*.

III. CHALLENGES OF ASSESSING INTER-SECTORAL PARTNERING

Documenting ISP performance can be a challenging endeavor. Each ISP is unique, thus, there is no blueprint to follow. Due to the non-linear nature of inter-sectoral partnering, the progression of ISPs is continually subject to redefinition. This section discusses three challenges inherent in the process of measuring the effectiveness of ISPs and ways to overcome them.

Projected Outcomes

Good performance indicators start with a statement of desired or projected outcomes. This presents the first challenge in identifying indicators for ISPs. Inter-sectoral partnering produces numerous outcomes or "results." Since ISPs are both a process and an outcome, the partnership's formation itself is the first result. Achieving the development objective being addressed by the partnership is another result. Creation of new types of relationships and the development of a foundation for future collaboration are a third type of result. When choosing indicators for an ISP, one must distinguish between desired process results and outcome results.

Short-term vs. Long-term Results

A second issue is that some of the policy changes associated with USAID's recent reforms and reporting requirements have led to an inadvertent emphasis on short-term over long-term results. This poses a particular problem for ISPs which develop incrementally. At the same time, delays or a lack of clarity about interim results can increase the risk of disillusionment and/or defection by partners. Therefore, it is particularly important to keep things moving, to keep costs and benefits to partners in balance, and to demonstrate visible progress against intermediate benchmarks.

Stovepiped Programming

A third challenge within the USAID context is how to integrate inter-sectoral partnering into a framework characterized by programs organized around specific programmatic sectors, such as agriculture, economic infrastructure, education, and health. Although there have been some dramatic development successes produced by this approach (e.g., child survival and the Green Revolution), there has always been concern that such stovepiped programs may mean that opportunities to build synergies across sectors are lost. ISPs provide an important means to transcend the stovepipes and maximize impact through synergies. In this context, indicators for measuring the impact of ISPs should reflect the potential for cross-sectoral impact.

Despite concerns to the contrary, it is possible to measure the impact of inter-sectoral partnering while simultaneously meeting USAID reporting requirements. Many missions are already doing so quite successfully. The USAID R4 database, for example, identifies numerous countries (such as Hungary, Lithuania, Mali, Mozambique, the Philippines, and South Africa) that are reporting

on both the short- and long-term impact of these public/private partnerships. [5] For instance, in Mozambique's FY2000 R4, one indicator—perceptions on whether questions of local interest are better resolved through collaboration between local government, citizens, and the private sector—has been developed to measure the Mission's Strategic Objective 2, "government and civil society are effective partners in democratic governance at the national and local levels."

It has been noted by USAID staff and partners that there are few conventional indicators to measure intangible results, such as those often associated with ISPs.[6] There is a misconception that subjective indicators assessing intangible results are not acceptable when reporting to Washington. Inter-sectoral partnering, as with many other development activities, will often produce intangible results, and subjective indicators will be necessary to assess them. Accurate judgements about results will depend upon growing acceptance of the value and validity of qualitative and subjective indicators.

A number of scholars and development practitioners have offered a variety of suggestions on how to measure intangible results. In "Assessing NGO Performance: Difficulties, Dilemmas, and A Way Ahead," Alan Fowler notes that in measuring the impact of NGOs:

- effectiveness must be determined and interpreted contextually

- the assessment approach should employ open-ended, unstructured questions, as opposed to universal measures

- standards must be derived from the various constituencies

- the assessment process should be participatory

These same principles apply to measuring the impact of inter-sectoral partnering. To ensure that the above conditions are met, members of ISPs should participate in both the process of defining objectives and results and that of selecting indicators to measure the impact of inter-sectoral partnering. Indicators will typically be more qualitative and subjective than quantitative and objective.

The following sections lay out a framework useful in the selection of indicators to measure the impact of inter-sectoral partnering. In addition to describing the framework and providing a menu of indicators, those organizations and USAID missions that have successfully used these indicators are identified.

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[5] The Results Review and Resource Request (R4) database is available on USAID's Center for Development Information (CDIE) web page [*http://cdie.usaid.gov/r4_2001*] as well as on the external web page [*http://www.dec.org/partners/r4_public*]. Users can search the database which stores Agency indicators by reporting unit, strategic objective title, intermediate result title, indicator name, or Agency goal or objective.

[6] Intangible results are those results that can be observed or inferred indirectly.

IV. FRAMEWORK FOR ASSESSING INTER-SECTORAL PARTNERING

The proposed framework highlights three domains of inter-sectoral partnering: the values and capacity of the partnership, the process of partnering, and the impact of the partnership. (See Figure 1.)

Figure 1: The Three Domains of ISPs
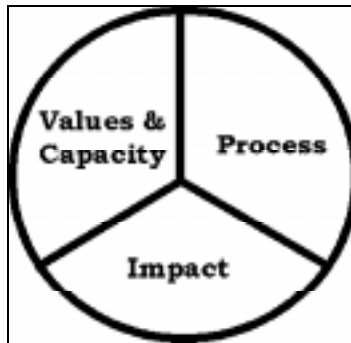
The framework proposes eight key dimensions within the three domains. (See Figure 2.) The objective of the framework is to provide a comprehensive view of partnering that recognizes the multiple dimensions of a partnership. A discussion of the domains and dimensions follows.

Figure 2: The Eight Dimensions of ISPs
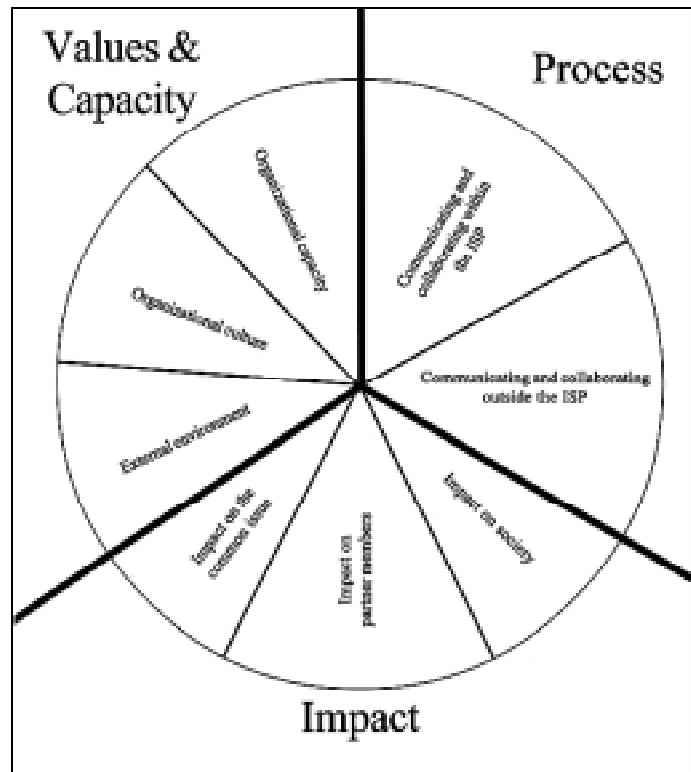
Values and Capacity

The existence of the partnership is itself a result. By assessing the values and capacity of the partnership in terms of organizational capacity, organizational norms, and the external environment, it is possible to assess the nature and identity of the partnership itself.

Organizational Capacity

Organizational capacity refers to the ability of an organization to carry out its stated objectives. Specifically, when assessing a partnership, one should look at planning, administrative, and resource capacities. It is also important to assess the issues of organizational sustainability—i.e., is the ISP sustainable? Sustainability will be evaluated differently depending on the nature of the partnership. For example, partners may come together in the short-term to solve an immediate need, such as improving roads, then disband after fixing those roads. Alternatively, a long-term partnership may be formed to promote philanthropy at the national level; the partners might establish a legal entity or organizations to achieve this goal. In this case, sustainability will be of particular importance. Another aspect of sustainability is the sustainability of the network—the relationship—among the partners after the immediate issue which brought them together has disappeared and the partnership has disbanded. In certain cases, the ability to tap into the old alliance on an *ad hoc* basis, or even to form a new inter-sectoral partnership with some of the original partners will be important. This aspect of sustainability will be explored in the discussion ahead on "social capital."

Organizational Culture

While one strength of inter-sectoral partnerships is the synergy created by bringing together diverse actors, agreed-upon organizational norms are necessary to hold that partnership together. There must be an agreed-upon common issue to address. All actors must have a unified vision about the purposes of the partnership, and there should be a consensus among those involved that inter-sectoral partnering is the appropriate strategy by which to address the issue.

External Environment

The external environment is the political, social, legal and economic context within a country. The *NPI Resource Guide* (USAID 1997a) discusses necessary conditions for an enabling external environment: 1) the existence of national, political, economic and social policies; and, 2) the initiation or strengthening of a process of open policy dialogue in which civil society organizations, business, local governments and interested citizens participate.

The enabling environment exerts a significant influence on the formation and the nature of the partnership. First, the capacity of each sector (government, business, and civil society) must be examined. While strong capacity on the part of each of the three sectors is ideal, it is still possible to have a successful partnership with different capacity mixes. Assessing the capacity of the individual sectors over time can provide a useful measure of

whether the external environment has improved. Second, it is important to assess any mechanism that enhances the ability of the different sectors to work together in the external environment. When examining the capacities of individual sectors as well as the mechanisms for interaction among them, it is important to keep in mind differences which may exist between the national and community levels.

Process

The process of partnering is also a result of an ISP. Process is often the most difficult of the three aspects to assess. The two dimensions of the process of partnering to evaluate include: 1) mechanisms for communication and collaboration within the partnership; and, 2) mechanisms for communication and collaboration outside of the partnership.

Communicating and Collaborating Within the ISP

Designing mechanisms within an ISP, or any organizational entity, that encourage partners to work together toward a common goal is immensely challenging. The organizational culture needs to include clear mechanisms for communicating and collaborating within the partnership. Operational variables can include: the partners' attitudes and behaviors in terms of the way people deal with or react to given situations, groups, or individuals; mechanisms to deal with governance, conflict resolution, and performance monitoring; and the equitable distribution of costs and benefits.

Communicating and Collaborating Outside the ISP

The mechanisms that govern relations among sectors of society will also affect the way in which ISP partners interact with non-partners. The systems facilitating this outside communication and collaboration may be the most important factors for the sustainability of partnering. Members of an ISP should be able to negotiate with non-partners in every sector through both informal and formal means. It is important to assess the presence of mechanisms that facilitate and ensure respectful communication and coordination practices between and among both partners and non-partners in the sectors.

Impact

The impact of inter-sectoral partnering can be assessed at three levels: the impact of the activity on the common issue addressed by the ISP; the impact on the partner members; and, the impact on society.

Impact on the Common Issue

The impact of the activity on the actual issue that the ISP addresses is the easiest result to document because it is likely to be a tangible result. For example, if an ISP brings together partners from the three sectors to address community water supply issues, the indicator that measures the impact on the common issue may be the number of wells dug, gallons of water distributed, or the reduced spread of disease. The precise indicators used to measure the activity impact will depend on the common issue being addressed by the partnership. Such indicators should also address sustainability issues.

Impact on Partner Members

The results assessed in this dimension relate specifically to the impact on the members who participate in the partnership. It is important to assess how the partnership affected the partner members both as individual organizations and as a collective.

Impact on Society

The long-term impact of an ISP on society refers to changes in the community at large. Has social capital increased as the result of the partnership? Has the external environment changed to be more conducive to the success of inter-sectoral partnering? Has the society's capacity to respond to external and internal shocks increased? These questions cannot be answered in the short-term, but benchmarks can be identified and indicators can be gathered and compared over the longer term.

While the proposed framework is a new concept, the indicators are not; they have been developed and used by both USAID and other organizations. Section V provides a menu of indicators by which to assess the different categories of each dimension. Again, the suggestion is not to use every indicator in the framework, but rather to pick and choose those that are most appropriate. The framework is both flexible and fluid and should be adapted to fit the needs and mission of each ISP.

V. INDICATORS FOR ASSESSING INTER-SECTORAL PARTNERING

This section describes the sixteen categories of ISPs (see Figure 3) and discusses the specific indicators that fit into each of the categories in the ISP Assessment Framework. The framework is designed to assist the development professional in selecting categories and indicators that best fit the objectives of a specific ISP. Collecting data for at least one indicator from each domain (values and capacity, process, and impact) will help to provide a comprehensive view of the results achieved.

It should be noted that most of the indicators come from sources using them to measure results other than those produced by ISPs.[7] The wording of the indicator, therefore, may need to be adapted to fit a particular ISP. Furthermore, the list of indicators is not comprehensive. New indicators that fit within the framework may need to be developed for specific ISPs. Finally, in some cases much of the data for the indicators already exists, and it is only a matter of collecting it from an existing source. Other proposed indicators may require more effort, such as conducting a survey or interviews.

Values and Capacity

The first aspect of an ISP to be assessed is the nature and identity of the partnership, in the form of its values and capacities. Three dimensions can be tracked: organizational capacity, organizational culture, and external environment.

Organizational Capacity

Three categories can be assessed over time when documenting the level of organizational capacity. These are the capacity of the organization to plan, administer, and gather resources. (See Table 1.)

Planning:

> The Inter-American Foundation (IAF)[8] defines an organization's capacity to plan as an application of a strategic planning approach to the design, follow-up, and evaluation of programs, taking into account institutional goals and objectives as well as contextual factors, and the capacity to develop, implement, and document effective development methodologies.

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[7] See Annex A for more detailed information about the various sources.

[8] The Inter-American Foundation Grassroots Development Framework provides a comprehensive list of indicators to measure tangible and intangible development results. The framework can be found on the web at *http://www.iaf.gov/results/menu01.htm.*

Figure 3: The Sixteen Categories of ISPs
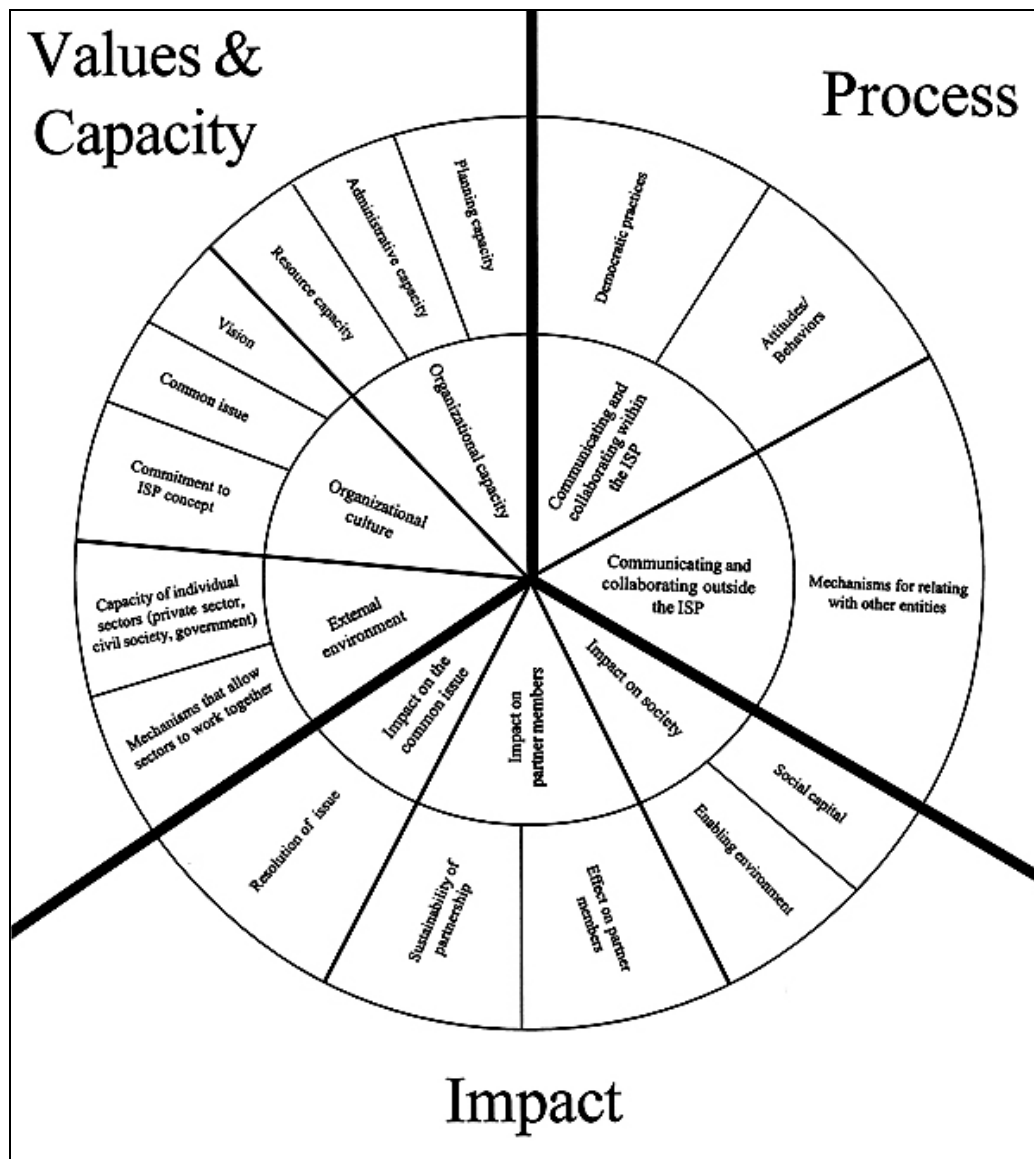
In assessing planning capacity, the IAF measures the degree to which planning and evaluation processes are systematic. The indicator refers to the overall planning process of the organization and not to the work plan for a specific project. IAF uses a five point scale ranging from "nothing systematic" to "completely systematic." IAF also measures the adaptability of an organization by the degree to which planning is adapted/adjusted (as needed) to the results of evaluation and the influence of contextual factors. This is measured on a five point scale ranging from "never" to "always."

Administrative:

> The IAF defines the capacity of an organization to administer by its capacity to assemble and manage the human and financial resources necessary to carry out the institutional mission, and its capacity to manage a productive activity. It measures the management capacity of human resources development, communication, financial management, and accounting. The measures of management capacity are opinions ranging from "never" to "always" on a five point scale.

Resources:

> The IAF defines the capacity of an organization to handle resources as the generation or mobilization of resources to finance the institution's operating expenses and to support grassroots programs and organizations. Resources can be financial, material, or human. Sources can be international, national, or internal. Profitability is measured by looking at whether the income produced by the activity achieves profits, covers its costs or does not cover its costs. IAF notes that this indicator only applies to income-generating projects.

> The IAF framework also examines the degree of economic sustainability achieved by the organization as it pertains to resource administration. This is measured by the percentage of the organization's total resources which are internally generated.

> USAID's *NPI Resource Guide*[9] also suggests indicators to assess resource capacity. Specifically, it looks at the strength of the partnership by assessing achievements in terms of raising resources and notes that a greater diversity of funding sources indicates increased strength for an organization.

> The IAF uses a quantitative indicator to measure the mobilization of resources. Resources are monetary as well as material and human. It also identifies the resources negotiated by the organization and directed to groups. The *NPI Resource Guide* also mentions indicators related to the mobilization of resources and cites examples from missions in Bulgaria, the Philippines, and Sri Lanka.

PACT's Discussion-Oriented Organizational Self-Assessment tool (DOSA)[10] is another source of indicators that can be used to assess organizational capacity. PACT developed this tool to assist non-governmental organizations in strengthening their organizational capacity. Specifically, DOSA measures organizational capacities and consensus levels in six critical areas and assesses the impact, over time, of these activities on organizational capacity. The six critical areas are:

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[9] The NPI Resource Guide is available on the web through *http://www.info.usaid.gov/pubs/isp/*.

[10] See *http://www.edc.org/INT/CapDev/dosafile/dosintr.htm*.

- financial resource management including budgeting, forecasting and cash management

- human resource management including staff training, supervision and personnel practices

- organizational learning including teamwork and information-sharing

- external relations including constituency development, fundraising and communications

- strategic management including planning, governance, mission, and partnering

- service delivery including field-based program practices and sustainability issues

Table 1: Values & Capacity – Organizational Capacity

Category	Indicators	Source of Indicator
Planning Capacity	Degree to which planning and evaluation processes are systematic	• IAF Grassroots Development Framework
	Degree to which planning is adapted/adjusted (as needed) to the results of evaluation and the influence of contextual factors	• IAF Grassroots Development Framework
	See PACT's DOSA for more planning capacity indicators	
Administrative Capacity	Management capacity in the following areas: human resources development, communication, financial management, accounting	• IAF Grassroots Development Framework
	See PACT's DOSA for more administrative capacity indicators	
Resource Capacity	Income produced by the enterprise/activity: Does not cover its costs Covers its costs Achieves profits	• IAF Grassroots Development Framework
	Sustainability of the organization: Percentage of the organization's total resources which are internally generated	• IAF Grassroots Development Framework
	Mobilization of Resources: Resources obtained for the activity, beyond the initial grant	• IAF Grassroots Development Framework • NPI Resource Guide
	Diversity index of the funding base	• NPI Resource Guide
	Brokering of resources: Resources negotiated by the partnership and directed to other groups	• IAF Grassroots Development Framework
	See PACT's DOSA for more resource capacity indicators	

Organizational Culture

In the second dimension, organizational culture, there are three categories that can be assessed: vision, presence of a common issue, and commitment. (See Table 2.) The presence of a common issue should be easy to identify in a goal or mission statement. The other categories are more difficult to capture in a results framework. While the existing indicators for this dimension have been used primarily to assess NGOs, they can be adapted for use in assessing ISPs. This does not imply, however, that ISPs are another type of NGO. ISPs represent a different set of relationships. Some ISPs may look like NGOs, while others may possess characteristics more similar to businesses. Many have a hybrid set of characteristics unlike more traditional organizational arrangements.

Vision:

> The IAF defines vision as the ability to perceive reality in new and unconventional ways—and the ability to see beyond the immediate project, the immediate institution, the immediate moment—and to foresee change. The capacity to identify opportunities is measured by the degree to which the organization identifies new opportunities and situations that motivate its action on a five point scale ranging from "never" to "always." The IAF framework also measures the degree of perception of short- and long-term consequences resulting from present actions on a five point scale ranging from "never" to "always."

Presence of a common issue:

> This category is easily assessed by asking whether partners agree on the existence of a common issue or goal that has brought the partnership together.

Commitment to the ISP concept:

> Commitment is addressed through what the IAF calls solidarity, or the identification of common goals shared by organizations, and a willingness to join forces. Cooperation is measured by the degree of mutual support with other organizations based on affinity and mutual interests on a five point scale ranging from "none" to "total." In addition, the priority of the collective interests is measured as the frequency with which the individual organizations postpone their own goals when necessary to achieve goals agreed upon within the collective.

Table 2: Values & Capacity – Organizational Culture

Category	Indicators	Source of Indicator
Vision	Degree to which the organization identifies new opportunities and situations that motivate its action	▪ IAF Grassroots Development Framework
	Degree of perception of short- and long-term consequences resulting from present actions	▪ IAF Grassroots Development Framework
Common Issue	Whether or not partners agree upon the common issue bringing them together in partnership	
Commitment to ISP Concept	Degree of mutual support with other organizations based on affinity and mutual interests	▪ IAF Grassroots Development Framework
	Frequency with which the organization postpones its own goals when necessary to achieve goals agreed upon within the sector	▪ IAF Grassroots Development Framework

External Environment

The final dimension of the values and capacity of an ISP is the external environment, which includes two categories: the capacity of each of the individual sectors (business, government, and civil society) that are collaborating on an ISP and the mechanisms that allow sectors to work together. (See Table 3.)

Capacity of Individual Sectors:

The capacities of individual sectors, while closely related, will need to be assessed independently in order to understand the environment that will influence the success of the ISP. Many resources exist to assist the development professional with this task.

Private Sector

A number of indices assess the capacity of private sector development. These include the Heritage Foundation's Economic Freedom Index and the Cato Institute's Freedom Index to assess private sector capacity. Many of the indicators can be found on USAID's Economic

and Social Data Service (ESDS) web pages.[11] The Euromoney and Institutional Investor Indicators and World Bank World Development Indicators are other good sources with lists of indicators by which to assess the private sector.

Government

When assessing the capacity of the public sector, the work of USAID's Global Bureau Center for Democracy and Governance is particularly useful.[12] This office has developed indicators to assess the fourth USAID democracy and governance objective—more transparent and accountable government institutions. Achievement of this objective is measured through six intermediate results (IRs).[13]

- Increased government responsiveness to citizens at the local level

- Increased citizen access to improved government information

- Ethical practices in government strengthened

- More effective, independent, and representative legislatures

- Enhanced policy processes in the executive branch

- Strengthened civil-military relations supportive of democracy

Civil Society

When assessing the capacity of the civil society sector, *USAID's Handbook of Democracy and Governance Program Indicators* also offers useful indicators. USAID currently has five intermediate results relating to the increased development of a politically active civil society. While the Center has focused its attention on the role of politically active organizations, the following three IRs and corresponding indicators can be applied to the general external framework for all civil society organizations.[14]

- A legal framework to protect and promote civil society ensured

- Increased institutional and financial viability of civil society organizations (CSOs)

- Enhanced free flow of information

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[11] See ESDS web pages on USAID's corporate web site at *http://cdie.usaid.gov/esds*.

[12] See *USAID's Handbook of Democracy and Governance Program Indicators*.

[13] See the handbook for a complete list of indicators that can be used to measure each result.

[14] See the handbook for a complete list of indicators that can be used to measure each result.

Another source for indicators to assess the capacity of the civil society sector in a country will be the Civil Society Index currently under development by CIVICUS. The index will provide an assessment of the health of civil society at the country level and its impact as an effective public actor nationally, regionally, and globally.[15]

Mechanisms that allow sectors to work together:

The second category to review when assessing the external environment is the existence of external mechanisms that make it possible for an ISP to form. The indicator reflecting the existence of these mechanisms will change depending on whether the ISP is functioning on the local or national level.

USAID/Hungary has made progress toward defining the necessary factors that foster collaboration across sectors. While trying to achieve increased citizen participation in decision-making processes, it is working toward developing collaborative forums across the three sectors. One indicator it has developed is the number of municipalities with institutionalized mechanisms for collaboration with NGOs. One such mechanism is the existence of a civil ombudsman. ISPs could adapt this indicator to reflect their specific situation.

The *NPI Resource Guide* notes that the following mechanisms are necessary for an enabling environment: political will with adequate legal and constitutional structures; fiscal independence, accountability, transparency; sufficient information and communication; a positive macro-policy environment; a minimal level of social accord; and, appropriate regulatory frameworks.

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[15] See the CIVICUS web page at *http://www.civicus.org/cindex.html*.

Table 3: Values & Capacity – External Environment

Category	Indicators	Source of Indicator
Capacity of individual sectors (private sector, government, civil society)	See specific sources for indicators to assess the private sector: ▪ Euromoney and Institutional Investor indicators ▪ World Bank World Development Indicators ▪ Heritage Foundation's Economic Freedom Index ▪ Cato Institute's Freedom Index ▪ ESDS web pages	
	See USAID's Handbook of Democracy and Governance Program Indicators for details on indicators to assess the government sector.	
	See USAID's Handbook of Democracy and Governance Program Indicators for details on indicators to assess the civil society.	
	See the CIVICUS Civil Society Index (work in progress) for more indicators to assess civil society	
Mechanisms that allow sectors to work together	▪ Number of municipalities with institutionalized mechanisms for collaboration with NGOs	▪ USAID/Hungary Mission FY 2001 R4: SO5, IR4
	See the NPI Resource Guide for discussion on: political will with adequate legal and constitutional structures; fiscal independence, accountability, transparency; sufficient information and communication; a positive macro-policy environment; a minimal level of social accord; and, appropriate regulatory frameworks.	

Process

The organizational mechanisms and practices of the ISP, or the processes involved in the formation and functioning of the partnership, are the second aspect to be assessed. This domain is often difficult to assess because the results may be intangible. However, the mechanisms that are created to facilitate collaboration within the partnership, as well as with outside actors, are crucial to the success of the ISP. Further research is needed into how to both create and evaluate these mechanisms.

Two dimensions can be tracked: 1) communicating and collaborating within the ISP; and, 2) communicating and collaborating outside the ISP.

Communicating and Collaborating Within the ISP

In order to have an ISP that can successfully address the development issue at hand, certain mechanisms for operating within the ISP must exist. These governing mechanisms for joint, or cross-sectoral initiatives, do not have to be developed or regulated by external mechanisms (Ostrom, Schroeder, and Wynne 1993). To ensure commitment, however, each ISP should

develop its own governance and operating structure based on the joint interests of its members. Any collaborative effort should have a locally designed set of rules that include an accountable and transparent monitoring mechanism. Sanctions, or punishments, for breaking these rules must be graduated from benign to severe, depending on the nature and the frequency of the infraction (Ostrom 1990). Organizational mechanisms that can lead to sustainable development must include: economic efficiency, fiscal equity, redistribution, accountability, and adaptability.[16]

The Inter-American Foundation's grassroots development framework offers two variables that apply to this dimension of the process involved in inter-sectoral partnering: 1) democratic practices; and, 2) attitudes and behaviors. (See Table 4.)

Democratic Practices:

Democratic practice, as defined in the IAF Grassroots Development Framework, refers to the institutional style and *modus operandi* which facilitate accountability to members and clients, broad participation in decision-making, availability of information about the management and allocation of resources, and the equitable distribution of benefits. The IAF assesses democratic practices by measuring the degree of access enjoyed by the organization's members, officials, and beneficiaries to key and clear information about the organization's finances, programs, and policies on a five point scale ranging from "none" to "total."

The IAF framework also analyzes "participation" by measuring the degree of participation of members and officials of the organization in decision-making (regarding the distribution of benefits, management of the organization, selection of leadership, etc.) on a four point scale ranging from "none" to "excessive."

Attitudes and Behaviors:

Attitudes and behaviors refer to the ways in which people deal with or react to, given situations, groups, or individuals; the presence or absence of respect, tolerance, equality, etc.; and the breakdown of stereotypes. The IAF grassroots framework looks at behavior with regard to socio-cultural diversity. The indicator is defined as the degree to which groups express or manifest in their social behavior their attitudes toward: equality between genders; and interaction with minority or other groups traditionally discriminated against. This indicator is measured on a four point scale ranging from "rejection" to "mutual respect." A second indicator of behavior measures the degree of responsiveness within public and private entities. This analyzes the modification of the behavior of representatives of public and private entities toward initiatives of the target population on a five point scale ranging from "very negative change" to "positive change."

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[16] See Ostrom, p. 112-116. A more extensive analysis of Ostrom's work may yield appropriate indicators to assess this aspect of an ISP.

Table 4: Process – Communicating and Collaborating Within the ISP

Category	Indicators	Source of Indicator
Democratic Practices	Degree of access of the organization's members, officials, and beneficiaries to key and clear information about the organization's finances, programs, and policies	• IAF Grassroots Development Framework
	Degree of participation of members and officials of the organization in decision-making (regarding the distribution of benefits, management of the organization, selection of leadership, etc.)	• IAF Grassroots Development Framework
	See Elinor Ostrom's work on governance and operating structures for cross-sectoral initiatives. Mechanisms should ensure economic efficiency, fiscal equity, redistribution, accountability, and adaptability. A set of rules should include, at a minimum, an accountable and transparent monitoring system and a graduated set of sanctions or punishments.	
Attitudes and Behaviors	Degree to which groups express or manifest in their social behavior their attitudes toward: equality between genders; and interaction with minority or other groups traditionally discriminated against.	• IAF Grassroots Development Framework
	Degree of responsiveness within public and private entities (modification of the behavior of representatives of public and private entities toward initiatives of the target population)	• IAF Grassroots Development Framework

Communicating and Collaborating Outside the ISP

This dimension focuses on a partnership's internal mechanisms that have been created to facilitate interaction with external actors. (See Table 5.)

Mechanisms for relating to other entities:

Two indicators have been developed by the Inter-American Foundation that apply to external relations. The first indicator measures the transition from relations of domination and dependency (between individuals, groups, or sectors) to relations based on equity and interdependence. They measure the capacity of the organization to negotiate with other civil society organizations based on an opinion survey using a five point scale from "very low" to "very high." Using the same scale, they also measure the capacity of the organization to

negotiate with public sector entities. Work is needed to develop an indicator of the organizational capacity to negotiate with private sector entities.

USAID's GOLD project developed another way to measure these interactions.[17] Adapted for NPI, the proposed indicator to measure partnering mechanisms is a percent increase in a development partnership score based on the following partnership scale. The scale consists of the following levels, with a total point range from 5 to 20:

- Dialogue: partnership has a mechanism for ongoing dialogue about development and concerns (1-4 pts)

- Accreditation: partnership is accredited and has a seat on committees or other official bodies dealing with development issues (1-4 pts)

- Effective lobby: partnership is able to influence government to formulate policies, regulations, and laws (1-4 pts)

- Recognition and funding by the government: partnership is recognized by the government and is given support to accomplish its development agenda (1-4 pts)

- Collaboration with the government on integrated area development: partnership and government agree to develop jointly an integrated plan for the development of a target area (1-4 pts)

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[17] For more information on the GOLD project, see *http://www.ardgold.org*.

Table 5: Process – Communicating and Collaborating Outside the ISP

Category	Indicators	Source of Indicator
Mechanisms for relating to other entities	Capacity of the target population or of the organization to negotiate with other sectors of civil society	• IAF Grassroots Development Framework
	Capacity of the target population or of the organization to negotiate with public sector entities	• IAF Grassroots Development Framework
	Capacity of the target population or of the organization to negotiate with private sector entities	
	Percent increase in development partnership score based on a partnership scale	• NPI Indicator recommendations[18]

Impact

The final critical aspect of an ISP that merits assessment is that of impact. There are three dimensions along which impact can be measured: the impact of the ISP on the common development issue, on the partner members, and on society at large.

Impact of the ISP on the Common Development Issue

Assessment of the impact of the ISP on the development issue at hand will, of course, vary depending on the nature of the specific ISP. For example, if the ISP has formed to address the issue of transportation between two communities, the impact of the ISP on this issue could be measured by the number of buses contracted and running, the number of passengers served by new routes, etc. Another ISP may form to solve the issue of lack of credit for small business owners. Indicators to measure the effectiveness of this ISP may be number of loans approved, amount of capital made available, etc. Typically, these are quantitative, output indicators pertaining to the outcome of the activity. These indicators will differ according to the issue at hand and should address the sustainability of the result.

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[18] This indicator was adapted from the Philippines GOLD project. See Brilliant memo.

Impact of the ISP on the Partner Members

When assessing the impact of an ISP on partner members, one may ask "has the partnership changed the members?" Two categories are relevant here: the effect on partner members and the sustainability of partnership. (See Table 6.)

Effect on partner members:

One method of documenting impact on the members is to examine the level of satisfaction with the partnership. One indicator proposed by the USAID's New Partnerships Initiative is a scale to measure the increase in satisfaction with the partnership based on a rating by partnership participants. The partnership members would develop this scale to assess their satisfaction based on the diversity of membership; quality and frequency of interaction; and the short-, medium-, and long-term achievement of goals.

The *NPI Resource Guide* proposes measuring the number or percentage of institutions that are at a certain level on an institutional capacity index or have achieved a defined rating. This index would be similar to PACT's DOSA or the upcoming CIVICUS Civil Society Index. USAID's Bureau for Humanitarian Response Office of Private and Voluntary Cooperation (BHR/PVC) used the DOSA methodology to measure change in the mean capacity score of private voluntary organizations on a PVC-developed capacity self-assessment instrument.

Sustainability of partnership:

USAID's Bureau for Humanitarian Response Office of Private and Voluntary Cooperation currently measures the change in the number of members of formal networks or associations of voluntary organizations to assess increased capability of non-governmental partners to achieve sustainable service delivery.

The *NPI Resource Guide* suggests indicators to assess whether or not the partnership has been strengthened. One indicator is whether or not the partnership has been transformed into something more formal like a coalition or a business.

Table 6: Impact – Impact on Partner Members

Category	Indicators	Source of Indicator
Effect on partner members	Increase in satisfaction with the partnership based on a rating by partnership participants.	▪ NPI Indicator recommendations
	Number or percentage of institutions that are at a certain level on an institutional capacity index or achieving a defined rating	▪ NPI Resource Guide ▪ USAID BHR/PVC FY2000 R4: SO1
Sustainability of partnership	Change in the number of members of formal networks or associations of voluntary organizations	▪ USAID BHR/PVC FY2001 R4: SO1
	Organizational transformation	▪ NPI Resource Guide

Impact of the ISP on Society

An ISP can effect broader societal change in addition to change in the specific issues addressed and among the partner members. This dimension can be assessed by examining two categories: social capital and the enabling environment. (See Table 7.)

Social Capital:

Social capital, the features of social organization that facilitate coordination and cooperation for mutual benefit, is important in terms of measuring the effectiveness of ISPs because it is often an outcome of ISPs. Social capital can be examined at both the local and national level and change in social capital should be examined over the long term. In order to apply the concept of social capital to a results framework for an ISP, one must be familiar with the theory of social capital and the state of social capital prior to the formation of the ISP.

The IAF identifies a variable called "practices" that is defined as the incorporation or the replication of new approaches to problems or new ways of relating to people, based on prior experience of NGOs (or an ISP). Replication may be demonstrated by other NGOs, the government or the private sector. It is measured by the number of organizations/agencies (outside the proposed beneficiary population) which replicated, adapted, or scaled-up a methodology demonstrated by the organization. A second aspect of practices is the dissemination of new approaches, methodologies or techniques in order to promote changes in practices is also part of this variable. Dissemination is measured by the number of distinct books, magazines, videos, or movies that document the experience of a program and that reach a public outside the immediate range of the project.

USAID's Mozambique Mission uses a public survey to assess its objective of having government and civil society function as effective partners in democratic governance. It measures the perception of whether local questions of interest are better resolved through collaboration between local government, citizens, and the private sector. The *NPI Resource Guide* notes that the Guinea Mission measures the number of forums, or their results, to assess the expansion of public–private dialogues.

The World Bank's Social Development department has launched a Social Capital Initiative[19] comprised of ten research products, one of which will be a tool to assess social capital. The Social Capital Assessment Tool (SCAT) assesses the cognitive and structural aspects of social capital at the micro-level. The three components of the SCAT include a community profile, a household survey, and an organizational profile. The SCAT assesses indicators relating to values, attitudes, behavior, and social norms, as well as the horizontal organizational structure, collective/transparent decision-making process, accountability of leaders, and the practices of collective action and responsibility.

Enabling Environment:

An ISP can also affect the enabling environment at the local and national levels. USAID and the IAF have developed a number of indicators to reflect impact on the enabling environment. The first variable relates to laws, or the passage, amendment, or repeal of legal measures that affect the beneficiary population. This refers to laws, regulations, statutes, etc. at the municipal, regional, and national level; the implementation of existing laws; and, placing important legal issues on the public agenda (mobilizing public opinion). The IAF measures the "enactment, modification, or repeal of legal measures" by the number of legal measures influenced by the organization (enactment, modification, or repeal) at the municipal, regional, or national level. The framework also identifies "consultation and participation" as the degree of institutionalization of opportunities for consultation or participation of the target population in the formulation of legal measures.

A second variable offered in the IAF grassroots development framework is policies, defined as the formulation, approval, or modification of policies—public or private—at the municipal, regional, or national level which result in: changes in the rules of the game for the beneficiary population; implementation of existing policies; or, getting a new topic on the public agenda regarding social policy or the mobilization of public opinion. The IAF defines "influence" on policy as the capacity to promote/put forth for public consideration themes important to the target population and "proposals and demands" as the number of proposals and/or demands presented by the organization that became policy.

The *NPI Resource Guide* suggests a number of indicators to assess the enabling environment: policies, laws, or regulations changed; laws or regulations enforced; degree of freedom for community action to occur; reduction in enabling environment constraints; and, extent of

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[19] See *http//:www.worldbank.org/poverty/scapital/index.htm.*

decentralization.[20] The NPI guide also suggests measuring improved advocacy based on the number of advocacy interventions or successes.

USAID/Lithuania evaluates increased responsiveness to public participation among municipal government officials by measuring: increased interaction of NGOs in various local government debate fora; increased mechanisms that local governments have put in place to assure citizen access to public officials; increased public accessibility to city financial and budget records and minutes of public meetings; and, the training of local government officials, local trainers and NGO activists in citizen participation.

Table 7: Impact – Impact on Society

Category	Indicators	Source of Indicator
Social Capital	Number of organizations/agencies (outside the proposed beneficiary population) which replicated, adapted, or scaled-up a methodology demonstrated by the organization	▪ IAF Grassroots Framework ▪ NPI Resource Guide
	Number of distinct books, magazines, videos, or movies that document the experience of a program and that reach a public outside the immediate range of the project	▪ IAF Grassroots Framework
	Percent of public surveyed that agree local questions are better resolved through collaboration	▪ USAID Mozambique FY2000 R4: SO2
	Number of public-private dialogues and/or results sponsored by organization	▪ NPI Resource Guide
	See The World Bank's Social Capital Assessment Tool for more indicators on: values, social norms, behavior, attitudes, horizontal organizational structure, collective/transparent decision-making process, accountability of leaders, and practices of collective action and responsibility.	

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[20] See the *NPI Resource Guide* for specific indicators used in particular missions.

Table 7 cont.: Impact - Impact on Society

Enabling Environment	Degree of institutionalization of opportunities for consultation or participation of the target population in the formulation of legal measures	▪ IAF Grassroots Framework
	Capacity to promote/put forth for public consideration themes important to the target population and "proposals and demands" as the number of proposals and/or demands presented by the organization that became policy	▪ IAF Grassroots Framework
	• Policies, laws, or regulations changed • Laws or regulations enforced • Degree of freedom for community action to occur • Reduction in enabling environment constraints • Extent of decentralization	▪ NPI Resource Guide (See guide for specific indicators used in particular USAID mission.)
	• Increased interaction of NGOs in various local government debate fora • Increase in mechanisms that local governments have put in place to assure citizen access to public officials • Increased public accessibility to city financial and budget records and minutes of public meetings • Training of local government officials, local trainers and NGO activists in citizen participation.	▪ USAID Lithuania FY2001 R4: SO4, IR4.2
	Number of advocacy interventions or successes	▪ NPI Resource Guide

VI. CONCLUSION

The complete ISP Assessment Framework, shown in Figure 4 below, provides development practitioners with a systematic method for measuring the results of inter-sectoral partnering. To grasp fully the results of an inter-sectoral partnership, one must take a multi-dimensional approach that explores the identity and nature of the ISP itself; the mechanisms used by the partners to interact with one another and outsiders; and the impact the partnership has had on a particular activity, the partners, and society as a whole.

Figure 4: The ISP Assessment Framework
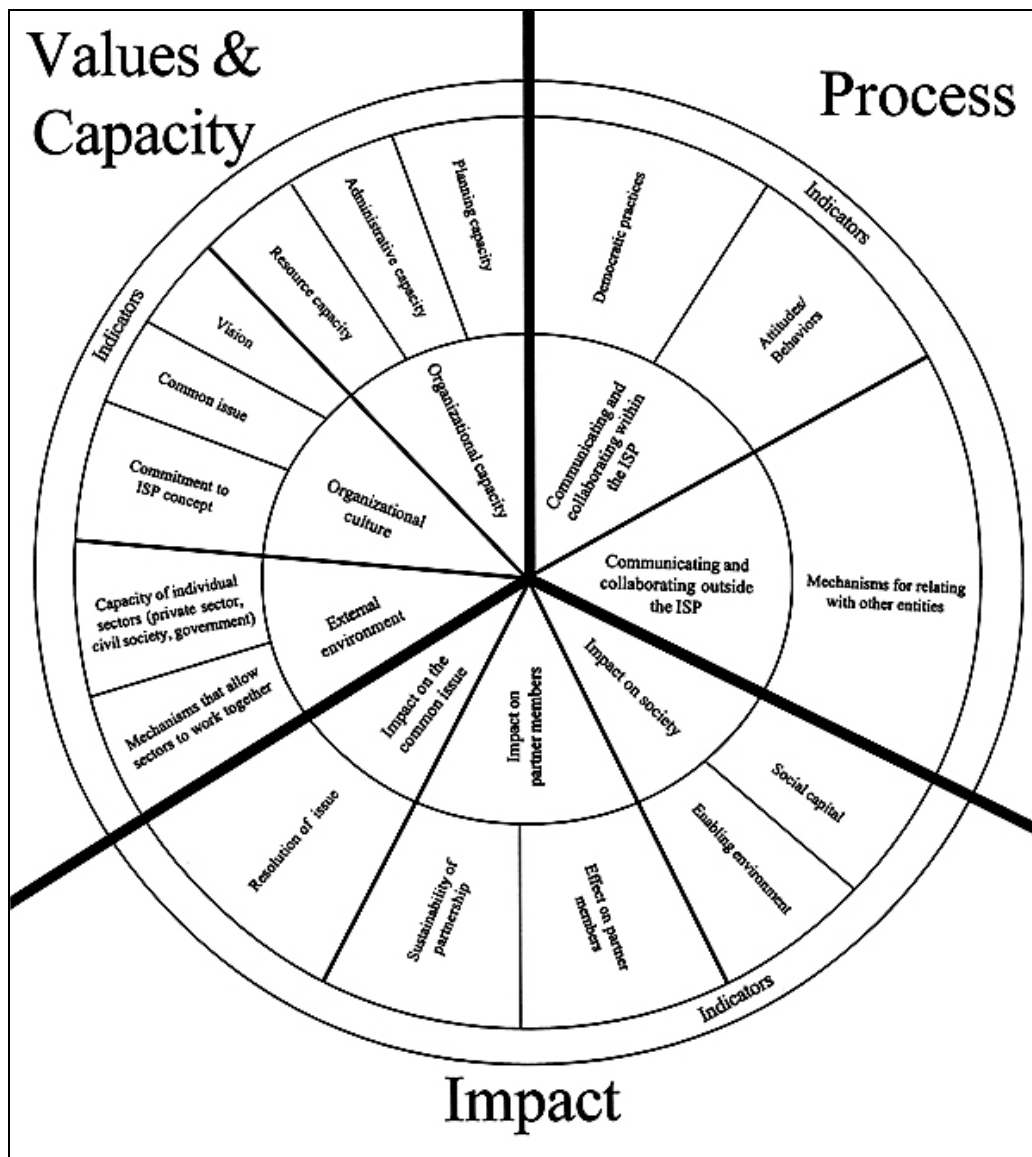
Ideally, each domain and dimension of inter-sectoral partnering should be assessed for all ISPs. The categories and specific indicators, on the other hand, should be chosen by the partners of specific ISPs to reflect their priorities. There should be agreement regarding which characteristics and results are important to their particular partnership. With this tool in hand, practitioners should feel more confident about using a range of indicators to assess inter-sectoral partnerships. The box below offers an example of how to use the framework.

Box 2: Putting the ISP Assessment Framework to Work

By way of example, below are the steps that could be taken to assess the impact of an ISP formed to improve the sanitary conditions of an open market:

The partner members (who might be owners of businesses surrounding the marketplace, an association of sellers, customers and district officials monitoring the market) and evaluators/facilitators agree upon measures of success for their partnership.

Next, the members and evaluators/facilitators choose which dimensions of the ISP Assessment Framework best reflect their objectives. For example, they may decide to focus on: planning capacity (values and capacity domain), the existence of a common issue (values and capacity domain), use of democratic practices (process domain), impact on the common issue (impact domain), and increased social capital (impact domain). Once there is agreement that these are the categories to assess, the group must decide upon the indicators for each category.

Planning Capacity: The group may decide to create an index based on the DOSA tool.

Common Issue: The group may decide to take a survey of the partner members on what their common issue, or goal, is. They may also want to survey non-members with whom they are in contact.

Democratic Practices: The group may decide to adapt the IAF indicator which measures the degree of access enjoyed by the ISPs members and beneficiaries to information about the organization's finances, programs, and policies. This would be in the form of a survey of the members and those with whom they are in contact.

Impact on the Common Issue: If the method of improving sanitary conditions in the marketplace is to build toilets for sellers and customers, one indicator might be whether or not a particular number of toilets were built. Another indicator might be the decreased number of people in the market contracting hepatitis.

Social Capital: An indicator might be whether or not other ISPs have been created in other markets to improve sanitary conditions. Another indicator might be whether or not the relationship between sectors (business community, civil society, and government) has changed due to the interaction among the partner members. For example, perhaps the district officials and the market sellers have improved relations with regard to how the officials monitor the market.

After developing the indicators to assess the ISP, the group (or the outside evaluator/facilitator) must gather data for the above indicators and analyze them. Finally, the partner members should discuss the results with the evaluator/facilitator to clarify issues and decide on next steps for the partnership.

The ISP Assessment Framework is the first step in an ongoing process. Additional work is clearly needed to refine the framework and to develop new methods of assessing ISPs. Next steps should include widespread discussion about the framework and alternative methods among a broad array of development actors in the international development community. USAID's Inter-sectoral Partnerships web site at *http://www.info.usaid.gov/pubs/isp/* will provide one venue for information sharing and further discussion on this and other topics related to inter-sectoral partnering.

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Internet Sites

CIVICUS Civil Society Index
http://www.civicus.org/cindex.html.

Development Assistance Committee Development Indicators Home Page
http://www.oecd.org/dac/indicators.

ELDIS Participatory Monitoring and Evaluation Guide: Indicators
http://nt1.ids.ac.uk/eldis/hot/pm4.htm.

Global Public Policy Web Site
http://www.globalpublicpolicy.net/index.html.

InterAmerican Foundation's Grassroots Development Framework Menu of Indicators
http://www.iaf.gov/results/menu01.htm.

Research Methods Knowledge Base
http://trochim.human.cornell.edu/kb/index.htm.

USAID's Automated Directives System
http://www.usaid.gov/ADS.

USAID Center for Development Information and Evaluation R4 Database
http://cdie.usaid.gov/r4_2001.

USAID's NPI Resource Guide
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USAID's Partnering for Results: A User's Guide to Inter-Sectoral Partnering
http://www.info.usaid.gov/pubs/isp.

The World Bank's Initiative on Defining, Monitoring and Measuring Social Capital
http://www.inform.umd.edu/iris/.

The World Bank Group's Social Capital for Development Web Page
http://www.worldbank.org/poverty/scapital/index.htm.

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ANNEX A:
INDICATOR SOURCES

A number of organizations have developed or are developing work that will further inform the process of assessing the results of ISPs. This section introduces some of these efforts, all of which are works in progress.

Grassroots Development Framework – Inter-American Foundation

The Inter-American Foundation (IAF) developed one of the first sets of indicators that measures the results of partnerships. IAF has worked with local NGOs to strengthen community development in Latin America for decades. Rarely, however, were the results of this work recorded. To begin systematically tracking the results of their efforts, IAF began in 1992 to develop a *grassroots development framework* (GDF) to "collect and assess results data that are not always reflected in more traditional analysis."[21]

The GDF attempts to capture both the *tangible* and *intangible* results of grassroots development. IAF identified three levels of impact: personal, organizational and societal. Each level is divided into the tangible and intangible aspects of the work that NGOs carry out on those three levels. These six potential areas of impact are portrayed in an inverted cone shape (see Figure 5) that donors and NGOs can fill in. At the personal level standard of living and personal capacity are assessed. At the organizational level, organizational capability and culture are assessed. Finally, at the societal level, the policy environment and community norms are assessed.

Each of these six sections contains three to five variables that can be measured by IAF's menu of 45 indicators. For example, when looking at standard of living, four variables are measured: satisfaction of basic needs, knowledge and skill levels, employment and income generation, and acquisition of assets and capacity to save. Indicators are provided for each variable. IAF has also developed a list of questions that can be used when gathering data to document the indicator.

The GDF assists development practitioners in measuring the impact of all NGO projects. Thus, in some situations, the framework could apply to projects carried out through ISPs. At the same time, it is important to keep in mind that the framework contains certain strengths and weaknesses.

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[21] From Inter-American Foundation web page at *http://www.iaf.gov/brouch/brouch.htm*.

Figure 5: The Inter-American Foundation's Grassroots Development Framework
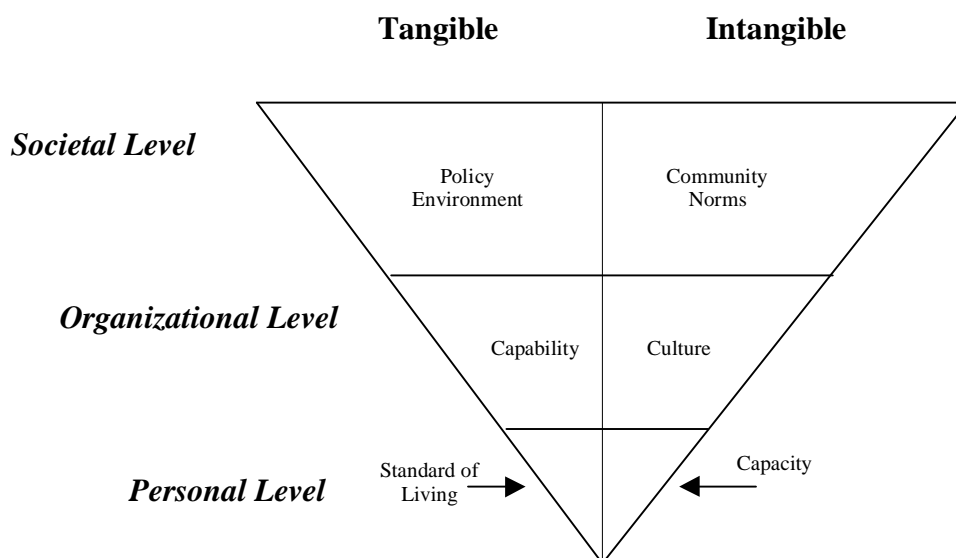
While individual projects have been monitored based on the GDF, the IAF has yet to operationalize the framework in a way that would permit the organization to analyze the results of its combined efforts in Latin America. In other words, the GDF cannot combine the sum of the individual parts of IAF's work to promote grassroots development. Presently, the IAF is working towards this goal (Rodriguez 1999).

DOSA: Measuring Organizational Capacity— PACT

PACT's Discussion-Oriented Organizational Self-Assessment tool (DOSA) is an effort to measure organizational capacity in civil society. With assistance from USAID's Office of Private and Voluntary Cooperation (BHR/PVC) and private voluntary organization (PVO) colleagues, PACT developed this tool to assist PVOs in strengthening their organizational capacity. The tool has been adapted to assess organizational capacity of smaller NGOs in developing countries as well. Specifically, DOSA measures "organizational capacities and consensus levels in six critical areas, and assesses the impact over time of these activities on organizational capacity (benchmarking)."[22] Presently, the tool serves not only to assess organizational capacity, but also as a springboard for organizational change. The six critical areas are:

- financial resource management including budgeting, forecasting, and cash management

- human resource management including staff training, supervision, and personnel practices

- organizational learning including teamwork and information-sharing

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[22] See *http://www.edc.org/INT/CapDev/dosafile/dosintr.htm.*

- external relations including constituency development, fundraising, and communications

- strategic management including planning, governance, mission, and partnering

- service delivery including field-based program practices and sustainability issues

DOSA and similar organizational capacity tools developed by PACT employ self-assessment techniques through facilitated discussion. The DOSA tool measures organizational capacity by forming an internal assessment team (usually comprised of the organization's staff) to discuss a series of questions (outlined in the tool). Each individual scores the discussion questions. PACT has adapted this same methodology to use with individual organizations. The methodology could be applied to measure the effectiveness of an ISP.

DOSA was designed as an easy-to-use assessment process that efficiently and effectively assists PVOs and their NGO partners in achieving meaningful, lasting change. PACT has found the tool to be quite effective. The methodology itself has a number of strengths due to the internal evaluation process. Because the organization's staff assesses the organizational capacity, the evaluation is usually more grounded in reality. There is also a higher internal commitment to organizational change. However, for the methodology and tool to work most effectively, participants in the exercise must feel that the process is safe and transparent.

SCAT – The World Bank

Through the Social Capital Assessment Tool (SCAT), the World Bank is investing resources in the measurement of social capital.[23] Measuring social capital is important in measuring the effectiveness of ISPs because increased social capital can be a significant outcome of ISPs. The World Bank's Social Capital Initiative intends to strengthen the methodological and empirical underpinnings for measuring social capital.[24]

The conceptual framework for the SCAT divides social capital into two levels. The micro-level refers to the potential contribution that horizontal organizations and social networks make to development. The macro-level refers to the institutional context that shapes these organizations and includes formal relationships and structures, such as rules of law, legal frameworks, political regimes, level of decentralization and the level of participation in the policy formulation process. (See Figure 6.)
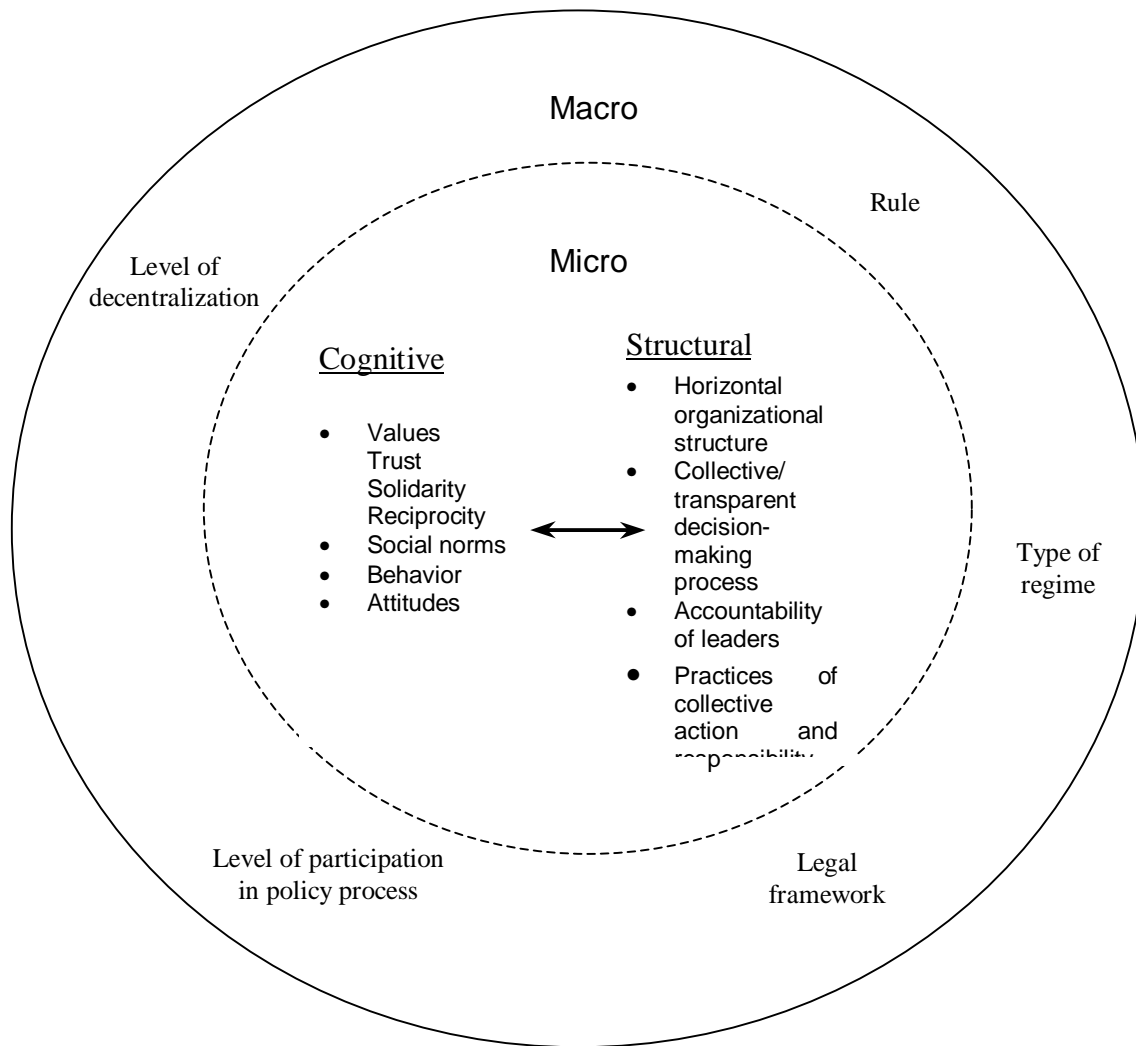
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[23] Defined by the World Bank as "institutions, relationships, and norms that affect the quality and quantity of a society's social interactions." See *http://www.worldbank.org/poverty/scapital/whatsc.htm.*

[24] See *http://www.inform.umd.edu/iris/soccap2.html*.

Figure 6: SCAT Conceptual Framework: Levels and Types of Social Capital [25]

Macro

Rule

Level of
decentralization

Micro

Cognitive

- Values
  Trust
  Solidarity
  Reciprocity
- Social norms
- Behavior
- Attitudes

Structural

- Horizontal
  organizational
  structure
- Collective/
  transparent
  decision-
  making
  process
- Accountability
  of leaders
- Practices   of
  collective
  action   and
  responsibility

Type of
regime

Level of participation
in policy process

Legal
framework

The SCAT focuses on the micro-level, particularly the way that cognitive and structural social capital interact at the community, household, and institutional levels. Cognitive social capital refers to values (i.e., trust, solidarity, and reciprocity), beliefs, attitudes, behavior and social norms. Structural social capital includes the organizational structure and practices of an organization and is built through horizontal organizations and networks that have collective and transparent decision-making processes, accountable leaders, and practices of collective action and mutual responsibility.

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[25] This diagram is reprinted with permission from Krishna and Shrader.

The SCAT provides validated indicators that can measure social capital and its relationship to other development indicators in the areas of poverty alleviation, inequality reduction, and economic growth. The World Bank notes that the SCAT represents the start of the creation of a tool to measure capital rather than a definitive methodology. Pilot testing of the SCAT continues to refine the tool.

Valuing Partnerships Toolbox—Prince of Wales Business Leaders Forum's

Another work in progress that directly relates to measuring the results of ISPs is the Prince of Wales Business Leaders Forum's (PWBLF) research on valuing partnerships. When complete, this work will be one of the first global and systematic efforts to develop tools to assess the impact of ISPs as a method to promote sustainable development.

In order to offer tools for partnership practitioners to measure the results of their ISPs, the PWBLF spent eighteen months holding a series of workshops to explore the topic. They began the process with a large international workshop, followed by a series of regional workshops. In April 1999, a final workshop was held, during which experts from around the world developed learning points and ideas for key tools to be developed and shared.

PWBLF is developing a tool box of indicators that measure the impact of ISPs. This tool box should be available in 2000.

Civil Society Index —CIVICUS

CIVICUS: World Alliance for Citizen Participation is developing a civil society index to assist in the definition of a strong, healthy civil society. The index will provide an assessment of the health of civil society at the country level and its impact as an effective public actor nationally, regionally, and globally. CIVICUS proposes the following products related to the index:

- A set of indicators, which describes the attributes associated with a healthy or strong civil society at the country level

- An assessment tool and methodology based on the index that will be used to measure the health of civil society and its impact at the country level

- A narrative interpretation of the implications of the data that emerges from the index[26]

Knowledge Resource Group—The World Bank

The Knowledge Resource Group's objective is to collect, analyze, link, and disseminate the lessons learned about partnerships involving business, government and civil society. The KRG draws from the existing base of knowledge on partnership building and World Bank experience in developing tools and programs that can hasten the learning process and can increase the

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[26] See *http://www.civicus.org/cindex.html*.

sustainability of the partnerships because lessons are being learned and applied. Sharing the lessons of partnership will also facilitate new partnerships.

KRG's role is to make information about effective practices in tri-sector partnerships available, through the networks of those involved to assist their efforts to improve their partnerships. The thrust of KRG is outreach and engaging each sector as a source of knowledge and experience as well as a dissemination target. In this way KRG will be able to make a long-term contribution to the general area of partnership building as a vehicle for achieving international development goals.[27]

New Partnerships Initiative Resource Guide—USAID

Performance indicators, as discussed in the *NPI Resource Guide*, are used to measure the impact of NPI-related activities in USAID's field missions. NPI pertains to the three sectors of business, civil society, and democratic institutions of governance. The indicators used for measuring partnerships in the NPI framework center around the enabling environment, strategic partnerships, and capacity building. According to the resource guide, it was found that the indicators used by missions to measure NPI focused more on capacity building than on the development of the enabling environment or the establishment of partnerships and linkages. In regard to capacity building, the indicators being used track changes in the mobilization of financial resources and specific categories of an organization's development but not the changes in an organization's diversity or the dissemination of models of organizational development.

The objective of NPI is to garner more effective responses at the local level by civil society, business, and the public sector in collaboratively addressing development challenges. In order to gauge whether this objective has been achieved, NPI identifies the following intermediate results (IRs). See the *NPI Resource Guide* for specific indicators to measure each IR.

- Strengthened enabling environment

- Established reform agenda to improve the enabling environment

- Improved advocacy

- Established or strengthened innovative strategic partnerships

- Increased awareness of the potential benefits of strategic partnerships

- Increased opportunities for mutually beneficial strategic partnerships

- Strengthened capacity of each sector

- Increased membership of institutions in networks

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[27] See *http://www.civicus.org/krg.html*.

- Increased diversity of institutions

- Increased development and dissemination of models of institutional development

- Increased mobilization of financial resources

- Increased access to and exchange of information

The resource guide discusses how it is conceptually difficult to form indicators that directly measure the NPI objective itself. While the indicators being used can track whether the desired results are being achieved with regard to the development issue (because these results are stated in the Strategic Objectives (SOs) of particular missions), they cannot track whether the three sectors of business, civil society, and the state are collaboratively addressing development issues. In order to best measure the NPI objective itself, indicators need to be developed that track the sustainability of the development impact achieved through the approach, the cost-effectiveness of the approach, and the relative pace at which the desired level of impact is reached. Also, in order to determine if these indicators are most appropriate for an NPI approach, they should be used in a non-NPI context as well for comparison.

Handbook of Democracy and Governance Program Indicators – USAID

While the *NPI Resource Guide* focuses particular attention on inter-sectoral partnerships, the *Handbook of Democracy and Governance Program Indicators* focuses on the measurement of USAID's four democracy and governance objectives:

- Strengthened rule of law and respect for human rights

- More genuine and competitive political processes

- Increased development of politically active civil society

- More accountable and transparent government institutions

Although the handbook says very little about partnerships and efforts to foster inter-sectoral partnerships, the last two objectives, relating to civil society and the public sector, are relevant to assessing ISPs.

The handbook offers a list of "candidate" indicators that can be utilized by USAID missions or that can help them develop other indicators to achieve the Agency's four democracy and governance objectives. It also discusses how to select indicators, how to statistically analyze indicators, and some of the costs involved for each method of data collection.